

03-16-01

PTO/SB05 (10-00)

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03/15/01
13962 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 1991-00200

First Inventor Mark ROSE

Title Online Trading System Having Ally-Initiated Trading

Express Mail Label No. EL 818624255 US

03-15-01
13962 U.S. PTO
09780584

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Page 20]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath and Declaration
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d))
 - i. DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-Part (CIP)

of prior application No.:

Group/Art Unit:

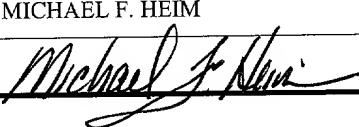
Prior application information:

Examiner
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

 Customer Number of Bar Code Label 23505 or Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	MICHAEL F. HEIM	Registration No. (Attorney/Agent)	32,702
Signature			Date March 15, 2001

Burden Hour Statement: This form is estimated to take 0.2 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, D.C. 20231.

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TO/ST/CO
FEE TRANSMITTAL
for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$ 836.00

Complete if Known

Application Number	Concurrently Herewith
Filing Date	March 14, 2001
First Named Inventor	Mark ROSE
Examiner Name	Not Yet Known
Group Art Unit	Not Yet Known
Attorney Docket No.	1991-00200

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:
Deposit Account Number: 03-2769
Deposit Account Name: Conley, Rose & Tayon, P.C.
 Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status.
See 37 CFR 1.27

2. Payment Enclosed:
 Check Credit Card Money Order Other Order

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	\$
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	\$
139	130	139 130 Non-English specification	\$
147	2,520	147 2,520 For filing a request for <i>ex parte</i> reexamination	\$
112	920*	112 920* Requesting publication of SIR prior to Examiner action	\$
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	\$
115	110	215 55 Extension for reply within first month	\$
116	390	216 195 Extension for reply within second month	\$
117	890	217 445 Extension for reply within third month	\$
118	1,390	218 695 Extension for reply within fourth month	\$
128	1,890	228 945 Extension for reply within fifth month	\$
119	310	219 155 Notice of Appeal	\$
120	310	220 155 Filing a brief in support of an appeal	\$
121	270	221 135 Request for oral hearing	\$
138	1,510	138 1,510 Petition to institute a public use proceeding	\$
140	110	240 55 Petition to revive - unavoidable	\$
141	1,240	241 620 Petition to revive - unintentional	\$
142	1,240	242 620 Utility issue fee (or reissue)	\$
143	440	243 220 Design issue fee	\$
144	600	244 300 Plant issue fee	\$
122	130	122 130 Petitions to the Commissioner	\$
123	50	123 50 Petitions related to provisional applications	\$
126	180	126 180 Submission of Information Disclosure Stmt	\$
581	40	581 40 Recording each patent assignment per property (times number of properties)	\$
146	710	246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	\$
149	710	249 355 For each additional invention to be examined (37 CFR § 1.129(b))	\$
179	710	279 355 Request for Continued Examination (RCE)	\$
169	900	169 900 Request for expedited examination of a design application	\$
Other fee (specify)			\$

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201 355 Utility filing Fee	\$
106	320	206 160 Design filing fee	\$
107	490	207 245 Plant filing fee	\$
108	710	208 355 Reissue filing fee	\$
114	150	214 75 Provisional filing fee	\$
SUBTOTAL (1) \$710.00			

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	27 - 20 = 7 x	18.00	= \$ 126.00
Independent	2 3 = 0 x	80.00	= \$ 0.00
Claims Multiple Dependent		270.00	= \$ 0.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent Claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) \$126.00		

** or number previously paid, if greater; For Reissues, see above

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	MICHAEL F. HEIM	Registration No (Attorney/Agent)	32,702	Telephone	(713) 238-8000
Signature	<i>Michael F. Heim</i>			Date	March 15, 2001

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